

**FEC  
FORM 3X****REPORT OF RECEIPTS  
AND DISBURSEMENTS**  
For Other Than An Authorized Committee

Office Use Only

1. NAME OF  
COMMITTEE (in full)**USE FEC MAILING LABEL  
OR TYPE OR PRINT**Example: If typing, type  
over the lines

Securities Industry and Financial Markets Association Political Action Committee

ADDRESS (number and street)

1101 New York Avenue, NW

8th Floor

☐Check if different  
than previously  
reported. (ACC)

Washington

DC

20005

2. **FEC IDENTIFICATION NUMBER**

CITY

STATE

ZIP CODE

C00431312

3. IS THIS  
REPORT☒NEW  
(N)

OR

☐AMENDED  
(A)4. **TYPE OF REPORT**

(Choose One)

(a) Quarterly Reports:

☐April 15  
Quarterly Report (Q1)☐July 15  
Quarterly Report (Q2)☐October 15  
Quarterly Report (Q3)☐January 31  
Quarterly Report (YE)☐July 31 Mid-Year  
Report (Non-election  
Year Only) (MY)☐Termination Report  
(TER)(b) Monthly  
Report  
Due On:☐ Feb 20 (M2)☐ May 20 (M5)☐ Aug 20 (M8)☐ Nov 20 (M11)  
(Non-Election  
Year Only)☐ Mar 20 (M3)☐ Jun 20 (M6)☐ Sep 20 (M9)☐ Dec 20 (M12)  
(Non-Election  
Year Only)☐ Apr 20 (M4)☐ Jul 20 (M7)☐ Oct 20 (M10)☐ Jan 31 (YE)

(c) 12-Day

**PRE-Election**  
Report for the:☐

Primary (12P)

☐

General (12G)

☐

Runoff (12R)

☐

Convention (12C)

☐

Special (12S)

Election on

in the  
State of

(d) 30-Day

**Post -Election**  
Report for the:☒

General (30G)

☐

Runoff (30R)

☐

Special (30S)

Election on

11

02

2010

in the  
State of

DC

5. Covering Period

10

14

2010

through

11

22

2010

I certify that I have examined this Report and to the best of my knowledge and belief it is true, correct and complete.

Type or Print Name of Treasurer

Mr. Kenneth E. Bentsen, Jr.

Signature of Treasurer

Electronically Filed by Mr. Kenneth E. Bentsen, Jr.

Date

12

02

2010

NOTE : Submission of false, erroneous, or incomplete information may subject the person signing this Report to the penalties of 2 U.S.C 437g.

Office  
Use  
Only**FEC FORM 3X**  
(Rev. 12/2004)

# SUMMARY PAGE

## OF RECEIPTS AND DISBURSEMENTS

FEC Form 3X (Rev. 02/2003)

2 / 36

Write or Type Committee Name

Securities Industry and Financial Markets Association Political Action Committee

Report Covering the Period:

From:

M M  
1 0D D  
1 4Y Y Y Y  
2 0 1 0

To:

M M  
1 1D D  
2 2Y Y Y Y  
2 0 1 0

	COLUMN A This Period	COLUMN B Calendar Year-to-Date
6. (a) Cash on Hand January 1 <span>Y Y Y Y 2010</span>		111977.94
(b) Cash on Hand at Beginning of Reporting Period .....	209245.17	
(c) Total Receipts (from Line 19) .....	41905.22	412094.93
(d) Subtotal (add lines 6(b) and 6(c) for Column A and Lines 6(a) and 6(c) for Column B) .....	251150.39	524072.87
7. Total Disbursements (from Line 31) .....	14579.35	287501.83
8. Cash on Hand at Close of Reporting Period (subtract Line 7 from Line 6(d)) .....	236571.04	236571.04
9. Debts and Obligations owed <b>TO</b> the committee (Itemize all on Schedule C and/or Schedule D) .....	0.00	
10. Debts and Obligations owed <b>BY</b> the committee (Itemize all on Schedule C and/or Schedule D) .....	0.00	

☒ This Committee has qualified as a multicandidate committee. (see FEC FORM 1M)

### For further information contact:

Federal Election Commission  
999 E street, NW  
Washington, DC 20463

Toll Free 800-424-9530  
Local 202-694-1100

# DETAILED SUMMARY PAGE OF RECEIPTS

FEC Form 3X (Rev. 06/2004)

3 / 36

Write or Type Committee Name

Securities Industry and Financial Markets Association Political Action Committee

Report Covering the Period:

From:

M	M
1	0

D	D
1	4

Y	Y	Y	Y
2	0	1	0

To:

M	M
1	1

D	D
2	2

Y	Y	Y	Y
2	0	1	0

I. Receipts	COLUMN A Total This Period	COLUMN B Calendar Year-to-Date
11. Contributions (other than loans) From:		
(a) Individuals/Persons Other Than Political Committees		
(i) Itemized (use Schedule A) .....	24464.14	267685.75
(ii) Unitemized .....	6632.00	66407.35
(iii) TOTAL (add Lines 11(a)(i) and (ii) .....	31096.14	334093.10
(b) Political Party Committees .....	0.00	0.00
(c) Other Political Committees (such as PACs) .....	10000.00	66500.00
(d) Total Contributions (add Lines 11(a)(iii),(b) and (c)) (Carry Totals to Line 33, page 5) .....	41096.14	400593.10
12. Transfers From Affiliated/Other Party Committees .....	0.00	0.00
13. All Loans Received .....	0.00	0.00
14. Loan Repayments Received .....	0.00	0.00
15. Offsets To Operating Expenditures (Refunds, Rebates, etc.) (Carry Totals to Line 37, page 5) .....	809.08	6501.83
16. Refunds of Contributions Made to Federal candidates and Other Political Committees .....	0.00	5000.00
17. Other Federal Receipts (Dividends, Interest, etc.) .....	0.00	0.00
18. Transfers from Non-Federal and Levin Funds		
(a) Non-Federal Account (from Schedule H3) .....	0.00	0.00
(b) Levin Funds (from Schedule H5) .....	0.00	0.00
(c) Total Transfer (add 18(a) and 18(b)).	0.00	0.00
19. Total Receipts (add Lines 11(d), 12, 13, 14, 15, 16, 17, and 18(c)) .....	41905.22	412094.93
20. Total Federal Receipts (subtract Line 18(c) from Line 19) .....	41905.22	412094.93

## DETAILED SUMMARY PAGE

of Disbursements

4 / 36

FEC Form 3X (Rev. 02/2003)

II. DISBURSEMENTS		COLUMN A Total This Period	COLUMN B Calendar Year-to-Date
21. Operating Expenditures:			
(a) Shared Federal/Non-Federal Activity (from Schedule H4)			
(i) Federal Share.....	0.00	0.00	
(ii) Non-Federal Share.....	0.00	0.00	
(b) Other Federal Operating Expenditures.....	579.35	6501.83	
(c) Total Operating Expenditures (add 21(a)(i), (a)(ii) and (b))..... ➤	579.35	6501.83	
22. Transfers to Affiliated/Other Party Committees.....	0.00	0.00	
23. Contributions to Federal Candidates/Committees and Other Political Committees.....	14000.00	281000.00	
24. Independent Expenditure (use Schedule E) .....	0.00	0.00	
25. Coordinated Expenditures Made by Party Committees (2 U.S.C. 441a(d)) (use Schedule F).....	0.00	0.00	
26. Loan Repayments Made.....	0.00	0.00	
27. Loans Made.....	0.00	0.00	
28. Refunds of Contributions To:			
(a) Individuals/Persons Other Than Political Committees .....	0.00	0.00	
(b) Political Party Committees	0.00	0.00	
(c) Other Political Committees (such as PACs) .....	0.00	0.00	
(d) Total Contribution Refunds (add Lines 28(a), (b), and (c)) .....	0.00	0.00	
29. Other Disbursements.....	0.00	0.00	
30. Federal Election Activity (2 U.S.C 431(20))			
(a) Shared Federal Election Activity (from Schedule H6)			
(i) Federal Share .....	0.00	0.00	
(ii) "Levin" Share .....	0.00	0.00	
(b) Federal Election Activity Paid Entirely With Federal Funds .....	0.00	0.00	
(c) Total Federal Election Activity (add Lines 30(a)(i), 30(a)(ii) and 30(b))....	0.00	0.00	
31. Total Disbursements (add Lines 21(c), 22, 23, 24, 25, 26, 27, 28(d), 29 and 30(c))..	14579.35	287501.83	
32. Total Federal Disbursements (subtract Line 21(a)(ii) and Line 30(a)(ii) from Line 31).....	14579.35	287501.83	

**DETAILED SUMMARY PAGE**  
of Disbursements

FEC Form 3X (Rev. 02/2003)

5 / 36

III. Net Contributions/Operating Expenditures	COLUMN A Total This Period	COLUMN B Calendar Year-to-Date
33. Total Contributions (other than loans) from Line 11(d), page 3) .....	41096.14	400593.10
34. Total Contribution Refunds (from Line 28(d)) .....	0.00	0.00
35. Net Contributions (other than loans) (subtract Line 34 from Line 33) .....	41096.14	400593.10
36. Total Federal Operating Expenditures (add Line 21(a)(i) and Line 21(b)).....	579.35	6501.83
37. Offsets to Operating Expenditures (from Line 15, page 3) .....	809.08	6501.83
38. Net Operating Expenditures (subtract Line 37 from Line 36) .....	-229.73	0.00

# **SCHEDULE A (FEC Form 3X)** **ITEMIZED RECEIPTS**

Use separate schedule(s)  
for each category of the  
Detailed Summary Page

FOR LINE NUMBER: PAGE 6 / 36

(check only one)

☒ 11a ☐ 11b ☐ 11c ☐ 12  
☐ 13 ☐ 14 ☐ 15 ☐ 16 ☐ 17

Any information copied from such Reports and Statements may not be sold or used by any person for the purpose of soliciting contributions or for commercial purposes, other than using the name and address of any political committee to solicit contributions from such committee.

NAME OF COMMITTEE (In Full)

Securities Industry and Financial Markets Association Political Action Committee

**A.**

Full Name (Last, First, Middle Initial)

Ms. Nancy K. Caton

Mailing Address 2350 Kerner Blvd, #370

City

San Rafael

State

CA

Zip Code

94901-7400

FEC ID number of contributing  
federal political committee.

C

Name of Employer  
Raymond James Financial,  
Inc.

Occupation  
President

Receipt For:

☐ Primary ☐ General  
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

250.00

Date of Receipt

M M / D D / Y Y Y Y  
1 0 / 1 8 / 2 0 1 0

Transaction ID: 18680658

Amount of Each Receipt this Period

250.00

Contribution

**B.**

Full Name (Last, First, Middle Initial)

Mr. Frank J. Amigo

Mailing Address 8320 SW 91 Terrace

City

Miami

State

FL

Zip Code

33156-7349

FEC ID number of contributing  
federal political committee.

C

Name of Employer  
Raymond James Financial,  
Inc.

Occupation  
Senior Vice President/Investments

Receipt For:

☐ Primary ☐ General  
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

250.00

Date of Receipt

M M / D D / Y Y Y Y  
1 0 / 1 4 / 2 0 1 0

Transaction ID: 18680661

Amount of Each Receipt this Period

250.00

Contribution

**C.**

Full Name (Last, First, Middle Initial)

Ms. Trudy Albinger Bixby

Mailing Address 4820 15th Avenue North

City

Saint Petersburg

State

FL

Zip Code

33713-5127

FEC ID number of contributing  
federal political committee.

C

Name of Employer  
Raymond James Financial,  
Inc.

Occupation  
SVP, Customer Operations

Receipt For:

☐ Primary ☐ General  
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

250.00

Date of Receipt

M M / D D / Y Y Y Y  
1 0 / 1 8 / 2 0 1 0

Transaction ID: 18686193

Amount of Each Receipt this Period

250.00

Contribution

**SUBTOTAL** of Receipts This Page (optional) .....

750.00

**TOTAL** This Period (last page this line number only) .....

# **SCHEDULE A (FEC Form 3X)** **ITEMIZED RECEIPTS**

Use separate schedule(s)  
for each category of the  
Detailed Summary Page

FOR LINE NUMBER: PAGE 7 / 36

(check only one)

☒ 11a ☐ 11b ☐ 11c ☐ 12  
☐ 13 ☐ 14 ☐ 15 ☐ 16 ☐ 17

Any information copied from such Reports and Statements may not be sold or used by any person for the purpose of soliciting contributions or for commercial purposes, other than using the name and address of any political committee to solicit contributions from such committee.

NAME OF COMMITTEE (In Full)

Securities Industry and Financial Markets Association Political Action Committee

**A.**

Full Name (Last, First, Middle Initial)

Kyle J. Hallman

Mailing Address 3724 Mountain Park Drive

City

Birmingham

State

AL

Zip Code

35213-4430

FEC ID number of contributing  
federal political committee.

C

Name of Employer  
Raymond James Financial,  
Inc.

Occupation

Vice President

Receipt For:

☐ Primary ☐ General  
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

250.00

Date of Receipt

M M / D D / Y Y Y Y  
1 0 / 2 1 / 2 0 1 0

Transaction ID: 18687530

Amount of Each Receipt this Period

250.00

Contribution

**B.**

Full Name (Last, First, Middle Initial)

Mr. Evan Whittle

Mailing Address 1300 Brightwaters Blvd.

City

Saint Petersburg

State

FL

Zip Code

33704-3808

FEC ID number of contributing  
federal political committee.

C

Name of Employer  
Raymond James Financial,  
Inc.

Occupation

Complex Manager

Receipt For:

☐ Primary ☐ General  
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

250.00

Date of Receipt

M M / D D / Y Y Y Y  
1 0 / 2 1 / 2 0 1 0

Transaction ID: 18687534

Amount of Each Receipt this Period

250.00

Contribution

**C.**

Full Name (Last, First, Middle Initial)

Mr. Richard F. Brueckner

Mailing Address P.O. Box 1015

City

Bedminster

State

NJ

Zip Code

07921-1015

FEC ID number of contributing  
federal political committee.

C

Name of Employer  
Pershing LLC

Occupation

Chief Executive Officer

Receipt For:

☐ Primary ☐ General  
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

4000.00

Date of Receipt

M M / D D / Y Y Y Y  
1 0 / 2 6 / 2 0 1 0

Transaction ID: 18689426

Amount of Each Receipt this Period

4000.00

Contribution

**SUBTOTAL** of Receipts This Page (optional) .....

4500.00

**TOTAL** This Period (last page this line number only) .....

# **SCHEDULE A (FEC Form 3X)** **ITEMIZED RECEIPTS**

Use separate schedule(s)  
for each category of the  
Detailed Summary Page

FOR LINE NUMBER: PAGE 8 / 36

(check only one)

☒ 11a ☐ 11b ☐ 11c ☐ 12  
☐ 13 ☐ 14 ☐ 15 ☐ 16 ☐ 17

Any information copied from such Reports and Statements may not be sold or used by any person for the purpose of soliciting contributions or for commercial purposes, other than using the name and address of any political committee to solicit contributions from such committee.

NAME OF COMMITTEE (In Full)

Securities Industry and Financial Markets Association Political Action Committee

**A.**

Full Name (Last, First, Middle Initial)

Mr. Charles A. Anderson

Mailing Address 2721 Spencer Street

City

Durham

State

NC

Zip Code

27705-5720

FEC ID number of contributing  
federal political committee.

C

Name of Employer  
Raymond James Financial,  
Inc.

Occupation

Branch Manager

Receipt For:

☐ Primary ☐ General  
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

250.00

Date of Receipt

M M / D D / Y Y Y Y  
1 0 / 2 6 / 2 0 1 0

Transaction ID: 18689564

Amount of Each Receipt this Period

250.00

Contribution

**B.**

Full Name (Last, First, Middle Initial)

Mr. Robert A. Nielsen, Jr.

Mailing Address 15 Clifford Street

City

Portland

State

ME

Zip Code

04102-3660

FEC ID number of contributing  
federal political committee.

C

Name of Employer  
Raymond James Financial,  
Inc.

Occupation

Senior Vice President/Investments

Receipt For:

☐ Primary ☐ General  
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

250.00

Date of Receipt

M M / D D / Y Y Y Y  
1 0 / 2 6 / 2 0 1 0

Transaction ID: 18689659

Amount of Each Receipt this Period

250.00

Contribution

**C.**

Full Name (Last, First, Middle Initial)

Rob Gannon

Mailing Address 3 Higgins Road

City

Old Bridge

State

NJ

Zip Code

08857-2749

FEC ID number of contributing  
federal political committee.

C

Name of Employer  
Securities Industry and  
Financial Mark

Occupation

Managing Director

Receipt For:

☐ Primary ☐ General  
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

202.65

Date of Receipt

M M / D D / Y Y Y Y  
1 0 / 2 2 / 2 0 1 0

Transaction ID: 18701093

Amount of Each Receipt this Period

9.65

Contribution

**SUBTOTAL** of Receipts This Page (optional) .....

509.65

**TOTAL** This Period (last page this line number only) .....



# **SCHEDULE A (FEC Form 3X)** **ITEMIZED RECEIPTS**

Use separate schedule(s)  
for each category of the  
Detailed Summary Page

FOR LINE NUMBER: PAGE 9 / 36

(check only one)

☒ 11a ☐ 11b ☐ 11c ☐ 12  
☐ 13 ☐ 14 ☐ 15 ☐ 16 ☐ 17

Any information copied from such Reports and Statements may not be sold or used by any person for the purpose of soliciting contributions or for commercial purposes, other than using the name and address of any political committee to solicit contributions from such committee.

NAME OF COMMITTEE (In Full)

Securities Industry and Financial Markets Association Political Action Committee

**A.**

Full Name (Last, First, Middle Initial)

Mr. Thomas F Price

Mailing Address 585 Farview Avenue

City

Wyckoff

State

NJ

Zip Code

07481-1141

FEC ID number of contributing  
federal political committee.

C

Name of Employer  
Securities Industry and  
Financial Mark

Receipt For:

☐ Primary ☐ General  
☐ Other (specify) ▼

Occupation

Managing Director

Aggregate Year-to-Date ▼

808.50

Date of Receipt

M M / D D / Y Y Y Y  
1 0 / 2 2 / 2 0 1 0

Transaction ID: 18701100

Amount of Each Receipt this Period

38.50

Contribution

**B.**

Full Name (Last, First, Middle Initial)

Mr. Joseph M. Vaughan

Mailing Address 1305 Shepard Street, NW

City

Washington

State

DC

Zip Code

20011-5529

FEC ID number of contributing  
federal political committee.

C

Name of Employer  
Securities Industry and  
Financial Mark

Receipt For:

☐ Primary ☐ General  
☐ Other (specify) ▼

Occupation

Vice President

Aggregate Year-to-Date ▼

307.68

Date of Receipt

M M / D D / Y Y Y Y  
1 0 / 2 2 / 2 0 1 0

Transaction ID: 18701103

Amount of Each Receipt this Period

19.23

Contribution

**C.**

Full Name (Last, First, Middle Initial)

Ms. Margaret Simmons

Mailing Address 4743 Bradley Blvd.  
Number 304

City

Chevy Chase

State

MD

Zip Code

20815

FEC ID number of contributing  
federal political committee.

C

Name of Employer  
Securities Industry and  
Financial Mark

Receipt For:

☐ Primary ☐ General  
☐ Other (specify) ▼

Occupation

Managing Director

Aggregate Year-to-Date ▼

2020.20

Date of Receipt

M M / D D / Y Y Y Y  
1 0 / 2 2 / 2 0 1 0

Transaction ID: 18701109

Amount of Each Receipt this Period

96.20

Contribution

**SUBTOTAL** of Receipts This Page (optional) .....

153.93

**TOTAL** This Period (last page this line number only) .....

# **SCHEDULE A (FEC Form 3X)** **ITEMIZED RECEIPTS**

Use separate schedule(s)  
for each category of the  
Detailed Summary Page

FOR LINE NUMBER: PAGE 10 / 36

(check only one)

☒ 11a ☐ 11b ☐ 11c ☐ 12  
☐ 13 ☐ 14 ☐ 15 ☐ 16 ☐ 17

Any information copied from such Reports and Statements may not be sold or used by any person for the purpose of soliciting contributions or for commercial purposes, other than using the name and address of any political committee to solicit contributions from such committee.

NAME OF COMMITTEE (In Full)

Securities Industry and Financial Markets Association Political Action Committee

**A.**

Full Name (Last, First, Middle Initial)

Mr. John Hallmark

Mailing Address 1101 New York Ave, NW  
8th Floor

City State Zip Code  
Washington DC 20005-4269

FEC ID number of contributing  
federal political committee.

**C**

Name of Employer  
Securities Industry and  
Financial Mark

Occupation  
Managing Director

Receipt For:

☐ Primary ☐ General  
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

770.00

Date of Receipt

M M / D D / Y Y Y Y  
1 0 / 2 2 / 2 0 1 0

Transaction ID: 18701117

Amount of Each Receipt this Period

38.50

Contribution

**B.**

Full Name (Last, First, Middle Initial)

Ms. N. Ellen McCarthy

Mailing Address 1101 New York Ave, NW  
8th Floor

City State Zip Code  
Washington DC 20005-4269

FEC ID number of contributing  
federal political committee.

**C**

Name of Employer  
Securities Industry and  
Financial Mark

Occupation  
Managing Director

Receipt For:

☐ Primary ☐ General  
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

770.00

Date of Receipt

M M / D D / Y Y Y Y  
1 0 / 2 2 / 2 0 1 0

Transaction ID: 18701118

Amount of Each Receipt this Period

38.50

Contribution

**C.**

Full Name (Last, First, Middle Initial)

Mr. Kenneth E. Bentsen, Jr.

Mailing Address 1101 New York Ave, NW  
8th Floor

City State Zip Code  
Washington DC 20005-4269

FEC ID number of contributing  
federal political committee.

**C**

Name of Employer  
Securities Industry and  
Financial Mark

Occupation  
EVP, Public Policy and Advocacy

Receipt For:

☐ Primary ☐ General  
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

4039.35

Date of Receipt

M M / D D / Y Y Y Y  
1 0 / 2 2 / 2 0 1 0

Transaction ID: 18701122

Amount of Each Receipt this Period

192.35

Contribution

**SUBTOTAL** of Receipts This Page (optional) .....

269.35

**TOTAL** This Period (last page this line number only) .....

# **SCHEDULE A (FEC Form 3X)** **ITEMIZED RECEIPTS**

Use separate schedule(s)  
for each category of the  
Detailed Summary Page

FOR LINE NUMBER: PAGE 11 / 36

(check only one)

☒ 11a ☐ 11b ☐ 11c ☐ 12  
☐ 13 ☐ 14 ☐ 15 ☐ 16 ☐ 17

Any information copied from such Reports and Statements may not be sold or used by any person for the purpose of soliciting contributions or for commercial purposes, other than using the name and address of any political committee to solicit contributions from such committee.

NAME OF COMMITTEE (In Full)

Securities Industry and Financial Markets Association Political Action Committee

**A.**

Full Name (Last, First, Middle Initial)

Marin E. Gibson

Mailing Address 796 Port Monmouth Rd.

City

Port Monmouth

State

NJ

Zip Code

07758-1676

FEC ID number of contributing  
federal political committee.

C

Name of Employer  
Securities Industry and  
Financial Mark

Occupation

Managing Director & Counsel

Receipt For:

☐ Primary ☐ General  
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

1211.70

Date of Receipt

M M / D D / Y Y Y Y Y  
1 0 / 2 2 / 2 0 1 0

Transaction ID: 18701123

Amount of Each Receipt this Period

57.70

Contribution

**B.**

Full Name (Last, First, Middle Initial)

Mr. Carter McDowell

Mailing Address 1101 New York Ave, NW  
8th Floor

City

Washington

State

DC

Zip Code

20005-4269

FEC ID number of contributing  
federal political committee.

C

Name of Employer  
Securities Industry and  
Financial Mark

Occupation

Senior Managing Director

Receipt For:

☐ Primary ☐ General  
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

2100.00

Date of Receipt

M M / D D / Y Y Y Y Y  
1 0 / 2 2 / 2 0 1 0

Transaction ID: 18701124

Amount of Each Receipt this Period

100.00

Contribution

**C.**

Full Name (Last, First, Middle Initial)

Ms. Cheryl Crispen

Mailing Address 1101 New York Ave, NW

City

Washington

State

DC

Zip Code

20005-4213

FEC ID number of contributing  
federal political committee.

C

Name of Employer  
Securities Industry and  
Financial Mark

Occupation

Executive Vice President, Communicatio

Receipt For:

☐ Primary ☐ General  
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

384.60

Date of Receipt

M M / D D / Y Y Y Y Y  
1 0 / 2 2 / 2 0 1 0

Transaction ID: 18701128

Amount of Each Receipt this Period

96.15

Contribution

**SUBTOTAL** of Receipts This Page (optional) .....

253.85

**TOTAL** This Period (last page this line number only) .....

**SCHEDULE A (FEC Form 3X)  
ITEMIZED RECEIPTS**Use separate schedule(s)  
for each category of the  
Detailed Summary Page

FOR LINE NUMBER: PAGE 12 / 36

(check only one)

<input checked="" type="checkbox"/> 11a	<input type="checkbox"/> 11b	<input type="checkbox"/> 11c	<input type="checkbox"/> 12	<input type="checkbox"/> 13	<input type="checkbox"/> 14	<input type="checkbox"/> 15	<input type="checkbox"/> 16	<input type="checkbox"/> 17
---	------------------------------	------------------------------	-----------------------------	-----------------------------	-----------------------------	-----------------------------	-----------------------------	-----------------------------

Any information copied from such Reports and Statements may not be sold or used by any person for the purpose of soliciting contributions or for commercial purposes, other than using the name and address of any political committee to solicit contributions from such committee.

NAME OF COMMITTEE (In Full)

Securities Industry and Financial Markets Association Political Action Committee

**A.**

Full Name (Last, First, Middle Initial)

Mr. Scott D. Moreland

Mailing Address 15916 Nottingham Drive

City

Lutz

State

FL

Zip Code

33548-6116

FEC ID number of contributing  
federal political committee.

C

Name of Employer  
Raymond James Financial,  
Inc.

Occupation

Internal Audit Director

Receipt For:

☐ Primary ☐ General  
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

250.00

Date of Receipt

M	M	/	D	D	/	Y	Y	Y	Y
1	0	/	2	8	/	2	0	1	0

Transaction ID: 18701162

Amount of Each Receipt this Period

250.00

Contribution

**B.**

Full Name (Last, First, Middle Initial)

Mr. John W. Houston

Mailing Address 546 14th Avenue NE

City

St. Petersburg

State

FL

Zip Code

33701-1315

FEC ID number of contributing  
federal political committee.

C

Name of Employer  
Raymond James Financial,  
Inc.

Occupation

SVP, Managing Director, FID

Receipt For:

☐ Primary ☐ General  
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

1000.00

Date of Receipt

M	M	/	D	D	/	Y	Y	Y	Y
1	0	/	2	8	/	2	0	1	0

Transaction ID: 18701181

Amount of Each Receipt this Period

1000.00

Contribution

**C.**

Full Name (Last, First, Middle Initial)

Mr. Richard P. Paulson

Mailing Address 268 Heritage Trail So.

City

Bellville

State

TX

Zip Code

77418

FEC ID number of contributing  
federal political committee.

C

Name of Employer  
Raymond James Financial,  
Inc.

Occupation

Senior Vice President/Investments

Receipt For:

☐ Primary ☐ General  
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

500.00

Date of Receipt

M	M	/	D	D	/	Y	Y	Y	Y
1	0	/	2	7	/	2	0	1	0

Transaction ID: 18701204

Amount of Each Receipt this Period

500.00

Contribution

SUBTOTAL of Receipts This Page (optional) .....

1750.00

TOTAL This Period (last page this line number only) .....

# **SCHEDULE A (FEC Form 3X)** **ITEMIZED RECEIPTS**

Use separate schedule(s)  
for each category of the  
Detailed Summary Page

FOR LINE NUMBER: PAGE 13 / 36

(check only one)

☒ 11a ☐ 11b ☐ 11c ☐ 12  
☐ 13 ☐ 14 ☐ 15 ☐ 16 ☐ 17

Any information copied from such Reports and Statements may not be sold or used by any person for the purpose of soliciting contributions or for commercial purposes, other than using the name and address of any political committee to solicit contributions from such committee.

NAME OF COMMITTEE (In Full)

Securities Industry and Financial Markets Association Political Action Committee

**A.**

Full Name (Last, First, Middle Initial)

Ms. Michelle Church

Mailing Address 4821 West Boulevard

City

Naples

State

FL

Zip Code

34103-3047

FEC ID number of contributing  
federal political committee.

C

Name of Employer  
Raymond James Financial,  
Inc.

Occupation

Senior Vice President/Investments

Receipt For:

☐ Primary ☐ General  
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

500.00

Date of Receipt

M M / D D / Y Y Y Y Y  
1 0 / 2 6 / 2 0 1 0

Transaction ID: 18701212

Amount of Each Receipt this Period

500.00

Contribution

**B.**

Full Name (Last, First, Middle Initial)

Mr. Ira P. Federer

Mailing Address 4911 Andros Drive

City

Tampa

State

FL

Zip Code

33629-4801

FEC ID number of contributing  
federal political committee.

C

Name of Employer  
Raymond James Financial,  
Inc.

Occupation

Sr. VP - Divisional Director

Receipt For:

☐ Primary ☐ General  
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

500.00

Date of Receipt

M M / D D / Y Y Y Y Y  
1 0 / 2 6 / 2 0 1 0

Transaction ID: 18701213

Amount of Each Receipt this Period

500.00

Contribution

**C.**

Full Name (Last, First, Middle Initial)

Ms. Alyssa Meyer

Mailing Address 9558 Portside Drive

City

Seminole

State

FL

Zip Code

33776-1115

FEC ID number of contributing  
federal political committee.

C

Name of Employer  
Raymond James Financial,  
Inc.

Occupation

Associate Compliance Director

Receipt For:

☐ Primary ☐ General  
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

250.00

Date of Receipt

M M / D D / Y Y Y Y Y  
1 0 / 2 6 / 2 0 1 0

Transaction ID: 18701226

Amount of Each Receipt this Period

250.00

Contribution

**SUBTOTAL** of Receipts This Page (optional) .....

1250.00

**TOTAL** This Period (last page this line number only) .....

# **SCHEDULE A (FEC Form 3X)** **ITEMIZED RECEIPTS**

Use separate schedule(s)  
for each category of the  
Detailed Summary Page

FOR LINE NUMBER: PAGE 14 / 36

(check only one)

☒ 11a ☐ 11b ☐ 11c ☐ 12  
☐ 13 ☐ 14 ☐ 15 ☐ 16 ☐ 17

Any information copied from such Reports and Statements may not be sold or used by any person for the purpose of soliciting contributions or for commercial purposes, other than using the name and address of any political committee to solicit contributions from such committee.

NAME OF COMMITTEE (In Full)

Securities Industry and Financial Markets Association Political Action Committee

**A.**

Full Name (Last, First, Middle Initial)

Mr. Richard A. Covkin

Mailing Address 39 Tall Pine Lane

City

Short Hills

State

NJ

Zip Code

07078-1370

FEC ID number of contributing  
federal political committee.

C

Name of Employer  
Raymond James Financial,  
Inc.

Occupation

Vice President

Receipt For:

☐ Primary ☐ General  
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

250.00

Date of Receipt

M M / D D / Y Y Y Y  
1 0 / 2 6 / 2 0 1 0

Transaction ID: 18701230

Amount of Each Receipt this Period

250.00

Contribution

**B.**

Full Name (Last, First, Middle Initial)

Mr. Robert Lankin

Mailing Address 633 N. Easton Road

City

Glenside

State

PA

Zip Code

19038-5126

FEC ID number of contributing  
federal political committee.

C

Name of Employer  
Raymond James Financial,  
Inc.

Occupation

Branch Manager

Receipt For:

☐ Primary ☐ General  
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

250.00

Date of Receipt

M M / D D / Y Y Y Y  
1 0 / 2 6 / 2 0 1 0

Transaction ID: 18701249

Amount of Each Receipt this Period

250.00

Contribution

**C.**

Full Name (Last, First, Middle Initial)

Mr. Steven F. Kennedy

Mailing Address 104 Penn Drive

City

Williamsburg

State

VA

Zip Code

23188-1888

FEC ID number of contributing  
federal political committee.

C

Name of Employer  
Raymond James Financial,  
Inc.

Occupation

Vice President

Receipt For:

☐ Primary ☐ General  
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

250.00

Date of Receipt

M M / D D / Y Y Y Y  
1 0 / 2 6 / 2 0 1 0

Transaction ID: 18701250

Amount of Each Receipt this Period

250.00

Contribution

**SUBTOTAL** of Receipts This Page (optional) .....

750.00

**TOTAL** This Period (last page this line number only) .....

# **SCHEDULE A (FEC Form 3X)** **ITEMIZED RECEIPTS**

Use separate schedule(s)  
for each category of the  
Detailed Summary Page

FOR LINE NUMBER: PAGE 15 / 36

(check only one)

☒ 11a ☐ 11b ☐ 11c ☐ 12  
☐ 13 ☐ 14 ☐ 15 ☐ 16 ☐ 17

Any information copied from such Reports and Statements may not be sold or used by any person for the purpose of soliciting contributions or for commercial purposes, other than using the name and address of any political committee to solicit contributions from such committee.

NAME OF COMMITTEE (In Full)

Securities Industry and Financial Markets Association Political Action Committee

**A.**

Full Name (Last, First, Middle Initial)

Ms. Susanna Robinson

Mailing Address 404 Widdington Lane

City

Cary

State

NC

Zip Code

27519-6699

FEC ID number of contributing  
federal political committee.

C

Name of Employer  
Raymond James Financial,  
Inc.

Occupation

Certified Financial Planner

Receipt For:

☐ Primary ☐ General  
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

250.00

Date of Receipt

M M / D D / Y Y Y Y  
1 0 / 2 6 / 2 0 1 0

Transaction ID: 18701263

Amount of Each Receipt this Period

250.00

Contribution

**B.**

Full Name (Last, First, Middle Initial)

Mr. Lawrence A. Grabenstein

Mailing Address 4041 Powder Mill Road  
Suite 205

City

Calverton

State

MD

Zip Code

20705-3106

FEC ID number of contributing  
federal political committee.

C

Name of Employer  
Raymond James Financial,  
Inc.

Occupation

Financial Advisor

Receipt For:

☐ Primary ☐ General  
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

250.00

Date of Receipt

M M / D D / Y Y Y Y  
1 0 / 2 6 / 2 0 1 0

Transaction ID: 18701264

Amount of Each Receipt this Period

250.00

Contribution

**C.**

Full Name (Last, First, Middle Initial)

Mr. Thomas E. Nitti

Mailing Address 1621 Bahama Drive

City

Key West

State

FL

Zip Code

33040-5227

FEC ID number of contributing  
federal political committee.

C

Name of Employer  
Raymond James Financial,  
Inc.

Occupation

Certified Financial Planner

Receipt For:

☐ Primary ☐ General  
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

250.00

Date of Receipt

M M / D D / Y Y Y Y  
1 0 / 2 6 / 2 0 1 0

Transaction ID: 18701269

Amount of Each Receipt this Period

250.00

Contribution

**SUBTOTAL** of Receipts This Page (optional) .....

750.00

**TOTAL** This Period (last page this line number only) .....

# **SCHEDULE A (FEC Form 3X)** **ITEMIZED RECEIPTS**

Use separate schedule(s)  
for each category of the  
Detailed Summary Page

FOR LINE NUMBER: PAGE 16 / 36

(check only one)

☒ 11a ☐ 11b ☐ 11c ☐ 12  
☐ 13 ☐ 14 ☐ 15 ☐ 16 ☐ 17

Any information copied from such Reports and Statements may not be sold or used by any person for the purpose of soliciting contributions or for commercial purposes, other than using the name and address of any political committee to solicit contributions from such committee.

NAME OF COMMITTEE (In Full)

Securities Industry and Financial Markets Association Political Action Committee

**A.**

Full Name (Last, First, Middle Initial)

Galen D. Krumme

Mailing Address 311 N. Ewing Street

City

Seymour

State

IN

Zip Code

47274-1677

FEC ID number of contributing  
federal political committee.

C

Name of Employer  
Raymond James Financial,  
Inc.

Occupation

Managing Partner

Receipt For:

☐ Primary ☐ General  
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

250.00

Date of Receipt

M M / D D / Y Y Y Y Y  
1 0 / 2 7 / 2 0 1 0

Transaction ID: 18701271

Amount of Each Receipt this Period

250.00

Contribution

**B.**

Full Name (Last, First, Middle Initial)

Mr. Benjamin B. Wehling

Mailing Address 494 S Emerson Ave  
Suite G

City

Greenwood

State

IN

Zip Code

46143-1912

FEC ID number of contributing  
federal political committee.

C

Name of Employer  
Raymond James Financial,  
Inc.

Occupation

Senior Vice President/Investments

Receipt For:

☐ Primary ☐ General  
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

250.00

Date of Receipt

M M / D D / Y Y Y Y Y  
1 0 / 2 7 / 2 0 1 0

Transaction ID: 18701276

Amount of Each Receipt this Period

250.00

Contribution

**C.**

Full Name (Last, First, Middle Initial)

Mr. Gordon Marshall

Mailing Address 42 Vanderbilt Lane

City

Portsmouth

State

RI

Zip Code

02871-2336

FEC ID number of contributing  
federal political committee.

C

Name of Employer  
Raymond James Financial,  
Inc.

Occupation

Regional Director

Receipt For:

☐ Primary ☐ General  
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

250.00

Date of Receipt

M M / D D / Y Y Y Y Y  
1 0 / 2 7 / 2 0 1 0

Transaction ID: 18701281

Amount of Each Receipt this Period

250.00

Contribution

**SUBTOTAL** of Receipts This Page (optional) .....

750.00

**TOTAL** This Period (last page this line number only) .....



# **SCHEDULE A (FEC Form 3X)** **ITEMIZED RECEIPTS**

Use separate schedule(s)  
for each category of the  
Detailed Summary Page

FOR LINE NUMBER: PAGE 17 / 36

(check only one)

☒ 11a ☐ 11b ☐ 11c ☐ 12  
☐ 13 ☐ 14 ☐ 15 ☐ 16 ☐ 17

Any information copied from such Reports and Statements may not be sold or used by any person for the purpose of soliciting contributions or for commercial purposes, other than using the name and address of any political committee to solicit contributions from such committee.

NAME OF COMMITTEE (In Full)

Securities Industry and Financial Markets Association Political Action Committee

**A.**

Full Name (Last, First, Middle Initial)

Ms. Darlene H. Hybels

Mailing Address 4008 E. Hillandale Drive

City

Kalamazoo

State

MI

Zip Code

49008-4107

FEC ID number of contributing  
federal political committee.

C

Name of Employer  
Raymond James Financial,  
Inc.

Occupation

Certified Financial Planner

Receipt For:

☐ Primary ☐ General  
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

1000.00

Date of Receipt

M M / D D / Y Y Y Y  
1 0 / 2 7 / 2 0 1 0

Transaction ID: 18701282

Amount of Each Receipt this Period

1000.00

Contribution

**B.**

Full Name (Last, First, Middle Initial)

Mr. Robert F. Shuck

Mailing Address 13606 Eagles Walk

City

Clearwater

State

FL

Zip Code

33762-5529

FEC ID number of contributing  
federal political committee.

C

Name of Employer  
Raymond James Financial,  
Inc.

Occupation

Investment Advisor

Receipt For:

☐ Primary ☐ General  
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

250.00

Date of Receipt

M M / D D / Y Y Y Y  
1 1 / 0 1 / 2 0 1 0

Transaction ID: 18701284

Amount of Each Receipt this Period

250.00

Contribution

**C.**

Full Name (Last, First, Middle Initial)

Mr. Steven M. Raney

Mailing Address 3608 W. San Juan Street

City

Tampa

State

FL

Zip Code

33629-6922

FEC ID number of contributing  
federal political committee.

C

Name of Employer  
Raymond James Financial,  
Inc.

Occupation

Certified Financial Planner

Receipt For:

☐ Primary ☐ General  
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

250.00

Date of Receipt

M M / D D / Y Y Y Y  
1 1 / 0 1 / 2 0 1 0

Transaction ID: 18701285

Amount of Each Receipt this Period

250.00

Contribution

**SUBTOTAL** of Receipts This Page (optional) .....

1500.00

**TOTAL** This Period (last page this line number only) .....

# **SCHEDULE A (FEC Form 3X)** **ITEMIZED RECEIPTS**

Use separate schedule(s)  
for each category of the  
Detailed Summary Page

FOR LINE NUMBER: PAGE 18 / 36

(check only one)

☒ 11a ☐ 11b ☐ 11c ☐ 12  
☐ 13 ☐ 14 ☐ 15 ☐ 16 ☐ 17

Any information copied from such Reports and Statements may not be sold or used by any person for the purpose of soliciting contributions or for commercial purposes, other than using the name and address of any political committee to solicit contributions from such committee.

NAME OF COMMITTEE (In Full)

Securities Industry and Financial Markets Association Political Action Committee

**A.**

Full Name (Last, First, Middle Initial)

Mr. Thomas A. James

Mailing Address 880 Carillon Parkway

City

Saint Petersburg

State

FL

Zip Code

33716-1102

FEC ID number of contributing  
federal political committee.

C

Name of Employer  
Raymond James Financial,  
Inc.

Occupation

Chairman of the Board and CEO

Receipt For:

☐ Primary ☐ General  
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

2500.00

Date of Receipt

M M / D D / Y Y Y Y Y  
1 1 / 0 2 / 2 0 1 0

Transaction ID: 18701290

Amount of Each Receipt this Period

2500.00

Contribution

**B.**

Full Name (Last, First, Middle Initial)

Mr. Mark Saran

Mailing Address 1190 Mount Vernon

City

Lake Forest

State

IL

Zip Code

60045-3876

FEC ID number of contributing  
federal political committee.

C

Name of Employer  
Raymond James Financial,  
Inc.

Occupation

Senior Vice President

Receipt For:

☐ Primary ☐ General  
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

250.00

Date of Receipt

M M / D D / Y Y Y Y Y  
1 1 / 0 5 / 2 0 1 0

Transaction ID: 18725961

Amount of Each Receipt this Period

250.00

Contribution

**C.**

Full Name (Last, First, Middle Initial)

Ms. Laurie S. Gross

Mailing Address 4 Stonehurst Court

City

Pomona

State

NY

Zip Code

10970-3411

FEC ID number of contributing  
federal political committee.

C

Name of Employer  
Raymond James Financial,  
Inc.

Occupation

Senior Vice President/Investments

Receipt For:

☐ Primary ☐ General  
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

250.00

Date of Receipt

M M / D D / Y Y Y Y Y  
1 1 / 0 8 / 2 0 1 0

Transaction ID: 18725962

Amount of Each Receipt this Period

250.00

Contribution

**SUBTOTAL** of Receipts This Page (optional) .....

3000.00

**TOTAL** This Period (last page this line number only) .....

# **SCHEDULE A (FEC Form 3X)** **ITEMIZED RECEIPTS**

Use separate schedule(s)  
for each category of the  
Detailed Summary Page

FOR LINE NUMBER: PAGE 19 / 36

(check only one)

☒ 11a ☐ 11b ☐ 11c ☐ 12  
☐ 13 ☐ 14 ☐ 15 ☐ 16 ☐ 17

Any information copied from such Reports and Statements may not be sold or used by any person for the purpose of soliciting contributions or for commercial purposes, other than using the name and address of any political committee to solicit contributions from such committee.

NAME OF COMMITTEE (In Full)

Securities Industry and Financial Markets Association Political Action Committee

**A.**

Full Name (Last, First, Middle Initial)

Mr. Daniel E. Butler

Mailing Address 900 Foulk Road  
Suite 201

City State Zip Code  
Wilmington DE 19803-3155

FEC ID number of contributing  
federal political committee.

**C**

Name of Employer  
Raymond James Financial,  
Inc.

Occupation  
Branch Manager

Receipt For:

☐ Primary ☐ General  
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

250.00

Date of Receipt

M M / D D / Y Y Y Y  
1 1 / 0 8 / 2 0 1 0

Transaction ID: 18725963

Amount of Each Receipt this Period

250.00

Contribution

**B.**

Full Name (Last, First, Middle Initial)

Mr. Scott A. Barkow

Mailing Address 13421 S.W. 70th Avenue

City State Zip Code  
Miami FL 33156-6949

FEC ID number of contributing  
federal political committee.

**C**

Name of Employer  
Raymond James Financial,  
Inc.

Occupation  
Senior Vice President

Receipt For:

☐ Primary ☐ General  
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

250.00

Date of Receipt

M M / D D / Y Y Y Y  
1 1 / 1 0 / 2 0 1 0

Transaction ID: 18725981

Amount of Each Receipt this Period

250.00

Contribution

**C.**

Full Name (Last, First, Middle Initial)

Mr. Gregory C. Williams

Mailing Address 2215 Mermaid Point NE

City State Zip Code  
Saint Petersburg FL 33703-3441

FEC ID number of contributing  
federal political committee.

**C**

Name of Employer  
Raymond James Financial,  
Inc.

Occupation  
Senior Vice President

Receipt For:

☐ Primary ☐ General  
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

1000.00

Date of Receipt

M M / D D / Y Y Y Y  
1 1 / 0 5 / 2 0 1 0

Transaction ID: 18725982

Amount of Each Receipt this Period

1000.00

Contribution

**SUBTOTAL** of Receipts This Page (optional) .....

1500.00

**TOTAL** This Period (last page this line number only) .....

# **SCHEDULE A (FEC Form 3X)** **ITEMIZED RECEIPTS**

Use separate schedule(s)  
for each category of the  
Detailed Summary Page

FOR LINE NUMBER: PAGE 20 / 36

(check only one)

☒ 11a ☐ 11b ☐ 11c ☐ 12  
☐ 13 ☐ 14 ☐ 15 ☐ 16 ☐ 17

Any information copied from such Reports and Statements may not be sold or used by any person for the purpose of soliciting contributions or for commercial purposes, other than using the name and address of any political committee to solicit contributions from such committee.

NAME OF COMMITTEE (In Full)

Securities Industry and Financial Markets Association Political Action Committee

**A.**

Full Name (Last, First, Middle Initial)

Mr. Thomas E. McNellis

Mailing Address 6509 Parkwood Road

City

Edina

State

MN

Zip Code

55436-1039

FEC ID number of contributing  
federal political committee.

C

Name of Employer  
Raymond James Financial,  
Inc.

Occupation

Financial Advisor

Receipt For:

☐ Primary ☐ General  
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

250.00

Date of Receipt

M M / D D / Y Y Y Y  
1 1 / 1 0 / 2 0 1 0

Transaction ID: 18725984

Amount of Each Receipt this Period

250.00

Contribution

**B.**

Full Name (Last, First, Middle Initial)

Mr. Chet Helck

Mailing Address 255 6th Avenue

City

Tierra Verde

State

FL

Zip Code

33715-1866

FEC ID number of contributing  
federal political committee.

C

Name of Employer  
Raymond James Financial,  
Inc.

Occupation

Chief Operating Officer

Receipt For:

☐ Primary ☐ General  
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

1000.00

Date of Receipt

M M / D D / Y Y Y Y  
1 1 / 1 0 / 2 0 1 0

Transaction ID: 18725989

Amount of Each Receipt this Period

1000.00

Contribution

**C.**

Full Name (Last, First, Middle Initial)

Mr. Michael Decker

Mailing Address 2713 Bradbury Court

City

Davidsonville

State

MD

Zip Code

21035-2447

FEC ID number of contributing  
federal political committee.

C

Name of Employer  
Securities Industry and  
Financial Mark

Occupation

Senior Managing Director

Receipt For:

☐ Primary ☐ General  
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

2500.00

Date of Receipt

M M / D D / Y Y Y Y  
1 1 / 1 0 / 2 0 1 0

Transaction ID: 18725992

Amount of Each Receipt this Period

2500.00

Contribution

**SUBTOTAL** of Receipts This Page (optional) .....

3750.00

**TOTAL** This Period (last page this line number only) .....

# **SCHEDULE A (FEC Form 3X)** **ITEMIZED RECEIPTS**

Use separate schedule(s)  
for each category of the  
Detailed Summary Page

FOR LINE NUMBER: PAGE 21 / 36

(check only one)

☒ 11a ☐ 11b ☐ 11c ☐ 12  
☐ 13 ☐ 14 ☐ 15 ☐ 16 ☐ 17

Any information copied from such Reports and Statements may not be sold or used by any person for the purpose of soliciting contributions or for commercial purposes, other than using the name and address of any political committee to solicit contributions from such committee.

NAME OF COMMITTEE (In Full)

Securities Industry and Financial Markets Association Political Action Committee

**A.**

Full Name (Last, First, Middle Initial)

Ms. Kalita Beck Blessing

Mailing Address 5600 W. Lovers Lane

City

Dallas

State

TX

Zip Code

75209-2409

FEC ID number of contributing  
federal political committee.

C

Name of Employer  
Raymond James Financial,  
Inc.

Occupation

Financial Advisor

Receipt For:

☐ Primary ☐ General  
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

250.00

Date of Receipt

M M / D D / Y Y Y Y  
1 1 / 1 0 / 2 0 1 0

Transaction ID: 18725997

Amount of Each Receipt this Period

250.00

Contribution

**B.**

Full Name (Last, First, Middle Initial)

Rob Gannon

Mailing Address 3 Higgins Road

City

Old Bridge

State

NJ

Zip Code

08857-2749

FEC ID number of contributing  
federal political committee.

C

Name of Employer  
Securities Industry and  
Financial Mark

Occupation

Managing Director

Receipt For:

☐ Primary ☐ General  
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

212.30

Date of Receipt

M M / D D / Y Y Y Y  
1 1 / 0 5 / 2 0 1 0

Transaction ID: 18725999

Amount of Each Receipt this Period

9.65

Contribution

**C.**

Full Name (Last, First, Middle Initial)

Mr. Thomas F Price

Mailing Address 585 Farview Avenue

City

Wyckoff

State

NJ

Zip Code

07481-1141

FEC ID number of contributing  
federal political committee.

C

Name of Employer  
Securities Industry and  
Financial Mark

Occupation

Managing Director

Receipt For:

☐ Primary ☐ General  
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

847.00

Date of Receipt

M M / D D / Y Y Y Y  
1 1 / 0 5 / 2 0 1 0

Transaction ID: 18726000

Amount of Each Receipt this Period

38.50

Contribution

**SUBTOTAL** of Receipts This Page (optional) .....

298.15

**TOTAL** This Period (last page this line number only) .....

# **SCHEDULE A (FEC Form 3X)** **ITEMIZED RECEIPTS**

Use separate schedule(s)  
for each category of the  
Detailed Summary Page

FOR LINE NUMBER: PAGE 22 / 36

(check only one)

☒ 11a ☐ 11b ☐ 11c ☐ 12  
☐ 13 ☐ 14 ☐ 15 ☐ 16 ☐ 17

Any information copied from such Reports and Statements may not be sold or used by any person for the purpose of soliciting contributions or for commercial purposes, other than using the name and address of any political committee to solicit contributions from such committee.

NAME OF COMMITTEE (In Full)

Securities Industry and Financial Markets Association Political Action Committee

**A.**

Full Name (Last, First, Middle Initial)

Mr. Joseph M. Vaughan

Mailing Address 1305 Shepard Street, NW

City

Washington

State

DC

Zip Code

20011-5529

FEC ID number of contributing  
federal political committee.

C

Name of Employer  
Securities Industry and  
Financial Mark

Occupation

Vice President

Receipt For:

☐ Primary ☐ General  
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

326.91

Date of Receipt

M M / D D / Y Y Y Y Y  
1 1 / 0 5 / 2 0 1 0

Transaction ID: 18726001

Amount of Each Receipt this Period

19.23

Contribution

**B.**

Full Name (Last, First, Middle Initial)

Ms. Margaret Simmons

Mailing Address 4743 Bradley Blvd.  
Number 304

City

Chevy Chase

State

MD

Zip Code

20815

FEC ID number of contributing  
federal political committee.

C

Name of Employer  
Securities Industry and  
Financial Mark

Occupation

Managing Director

Receipt For:

☐ Primary ☐ General  
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

2116.40

Date of Receipt

M M / D D / Y Y Y Y Y  
1 1 / 0 5 / 2 0 1 0

Transaction ID: 18726003

Amount of Each Receipt this Period

96.20

Contribution

**C.**

Full Name (Last, First, Middle Initial)

Mr. John Hallmark

Mailing Address 1101 New York Ave, NW  
8th Floor

City

Washington

State

DC

Zip Code

20005-4269

FEC ID number of contributing  
federal political committee.

C

Name of Employer  
Securities Industry and  
Financial Mark

Occupation

Managing Director

Receipt For:

☐ Primary ☐ General  
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

808.50

Date of Receipt

M M / D D / Y Y Y Y Y  
1 1 / 0 5 / 2 0 1 0

Transaction ID: 18726006

Amount of Each Receipt this Period

38.50

Contribution

**SUBTOTAL** of Receipts This Page (optional) .....

153.93

**TOTAL** This Period (last page this line number only) .....

# **SCHEDULE A (FEC Form 3X)** **ITEMIZED RECEIPTS**

Use separate schedule(s)  
for each category of the  
Detailed Summary Page

FOR LINE NUMBER: PAGE 23 / 36

(check only one)

☒ 11a ☐ 11b ☐ 11c ☐ 12  
☐ 13 ☐ 14 ☐ 15 ☐ 16 ☐ 17

Any information copied from such Reports and Statements may not be sold or used by any person for the purpose of soliciting contributions or for commercial purposes, other than using the name and address of any political committee to solicit contributions from such committee.

NAME OF COMMITTEE (In Full)

Securities Industry and Financial Markets Association Political Action Committee

A.

Full Name (Last, First, Middle Initial)

Ms. N. Ellen McCarthy

Mailing Address 1101 New York Ave, NW  
8th FloorCity State Zip Code  
Washington DC 20005-4269FEC ID number of contributing  
federal political committee.

C

Name of Employer  
Securities Industry and  
Financial MarkOccupation  
Managing Director

Receipt For:

☐ Primary ☐ General  
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

808.50

Date of Receipt

M M / D D / Y Y Y Y Y  
1 1 / 0 5 / 2 0 1 0

Transaction ID: 18726007

Amount of Each Receipt this Period

38.50

Contribution

B.

Full Name (Last, First, Middle Initial)

Mr. Kenneth E. Bentsen, Jr.

Mailing Address 1101 New York Ave, NW  
8th FloorCity State Zip Code  
Washington DC 20005-4269FEC ID number of contributing  
federal political committee.

C

Name of Employer  
Securities Industry and  
Financial MarkOccupation  
EVP, Public Policy and Advocacy

Receipt For:

☐ Primary ☐ General  
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

4231.70

Date of Receipt

M M / D D / Y Y Y Y Y  
1 1 / 0 5 / 2 0 1 0

Transaction ID: 18726009

Amount of Each Receipt this Period

192.35

Contribution

C.

Full Name (Last, First, Middle Initial)

Marin E. Gibson

Mailing Address 796 Port Monmouth Rd.

City State Zip Code  
Port Monmouth NJ 07758-1676FEC ID number of contributing  
federal political committee.

C

Name of Employer  
Securities Industry and  
Financial MarkOccupation  
Managing Director & Counsel

Receipt For:

☐ Primary ☐ General  
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

1269.40

Date of Receipt

M M / D D / Y Y Y Y Y  
1 1 / 0 5 / 2 0 1 0

Transaction ID: 18726015

Amount of Each Receipt this Period

57.70

Contribution

SUBTOTAL of Receipts This Page (optional) .....

288.55

TOTAL This Period (last page this line number only) .....

# **SCHEDULE A (FEC Form 3X)** **ITEMIZED RECEIPTS**

Use separate schedule(s)  
for each category of the  
Detailed Summary Page

FOR LINE NUMBER: PAGE 24 / 36

(check only one)

☒ 11a ☐ 11b ☐ 11c ☐ 12  
☐ 13 ☐ 14 ☐ 15 ☐ 16 ☐ 17

Any information copied from such Reports and Statements may not be sold or used by any person for the purpose of soliciting contributions or for commercial purposes, other than using the name and address of any political committee to solicit contributions from such committee.

NAME OF COMMITTEE (In Full)

Securities Industry and Financial Markets Association Political Action Committee

**A.**

Full Name (Last, First, Middle Initial)

Mr. Carter McDowell

Mailing Address 1101 New York Ave, NW  
8th Floor

City State Zip Code  
Washington DC 20005-4269

FEC ID number of contributing  
federal political committee.

**C**

Name of Employer  
Securities Industry and  
Financial Mark

Occupation  
Senior Managing Director

Receipt For:

☐ Primary ☐ General  
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

2200.00

Date of Receipt

M M / D D / Y Y Y Y Y  
1 1 / 0 5 / 2 0 1 0

Transaction ID: 18726017

Amount of Each Receipt this Period

100.00

Contribution

**B.**

Full Name (Last, First, Middle Initial)

Ms. Cheryl Crispen

Mailing Address 1101 New York Ave, NW

City State Zip Code  
Washington DC 20005-4213

FEC ID number of contributing  
federal political committee.

**C**

Name of Employer  
Securities Industry and  
Financial Mark

Occupation  
Executive Vice President, Communicatio

Receipt For:

☐ Primary ☐ General  
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

480.75

Date of Receipt

M M / D D / Y Y Y Y Y  
1 1 / 0 5 / 2 0 1 0

Transaction ID: 18726019

Amount of Each Receipt this Period

96.15

Contribution

**C.**

Full Name (Last, First, Middle Initial)

Mr. Paul C. Reilly

Mailing Address 880 Carillon Parkway

City State Zip Code  
Saint Petersburg FL 33716-1102

FEC ID number of contributing  
federal political committee.

**C**

Name of Employer  
Raymond James Financial,  
Inc.

Occupation  
Chief Executive Officer

Receipt For:

☐ Primary ☐ General  
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

1000.00

Date of Receipt

M M / D D / Y Y Y Y Y  
1 1 / 1 7 / 2 0 1 0

Transaction ID: 18734243

Amount of Each Receipt this Period

1000.00

Contribution

**SUBTOTAL** of Receipts This Page (optional) .....

1196.15

**TOTAL** This Period (last page this line number only) .....



# **SCHEDULE A (FEC Form 3X)** **ITEMIZED RECEIPTS**

Use separate schedule(s)  
for each category of the  
Detailed Summary Page

FOR LINE NUMBER: PAGE 25 / 36

(check only one)

☒ 11a ☐ 11b ☐ 11c ☐ 12  
☐ 13 ☐ 14 ☐ 15 ☐ 16 ☐ 17

Any information copied from such Reports and Statements may not be sold or used by any person for the purpose of soliciting contributions or for commercial purposes, other than using the name and address of any political committee to solicit contributions from such committee.

NAME OF COMMITTEE (In Full)

Securities Industry and Financial Markets Association Political Action Committee

**A.**

Full Name (Last, First, Middle Initial)

Mr. Dennis W. Zank

Mailing Address 6123 Pasadena Point Blvd.

City

Gulfport

State

FL

Zip Code

33707-3876

FEC ID number of contributing  
federal political committee.

C

Name of Employer  
Raymond James Financial,  
Inc.

Occupation  
President

Receipt For:

☐ Primary ☐ General  
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

500.00

Date of Receipt

M M / D D / Y Y Y Y  
1 1 / 1 9 / 2 0 1 0

Transaction ID: 18734873

Amount of Each Receipt this Period

500.00

Contribution

**B.**

Full Name (Last, First, Middle Initial)

Mr. Thomas F Price

Mailing Address 585 Farview Avenue

City

Wyckoff

State

NJ

Zip Code

07481-1141

FEC ID number of contributing  
federal political committee.

C

Name of Employer  
Securities Industry and  
Financial Mark

Occupation  
Managing Director

Receipt For:

☐ Primary ☐ General  
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

885.50

Date of Receipt

M M / D D / Y Y Y Y  
1 1 / 1 9 / 2 0 1 0

Transaction ID: 18760067

Amount of Each Receipt this Period

38.50

Contribution

**C.**

Full Name (Last, First, Middle Initial)

Mr. Joseph M. Vaughan

Mailing Address 1305 Shepard Street, NW

City

Washington

State

DC

Zip Code

20011-5529

FEC ID number of contributing  
federal political committee.

C

Name of Employer  
Securities Industry and  
Financial Mark

Occupation  
Vice President

Receipt For:

☐ Primary ☐ General  
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

346.14

Date of Receipt

M M / D D / Y Y Y Y  
1 1 / 1 9 / 2 0 1 0

Transaction ID: 18760068

Amount of Each Receipt this Period

19.23

Contribution

**SUBTOTAL** of Receipts This Page (optional) .....

557.73

**TOTAL** This Period (last page this line number only) .....

# **SCHEDULE A (FEC Form 3X)** **ITEMIZED RECEIPTS**

Use separate schedule(s)  
for each category of the  
Detailed Summary Page

FOR LINE NUMBER: PAGE 26 / 36

(check only one)

☒ 11a ☐ 11b ☐ 11c ☐ 12  
☐ 13 ☐ 14 ☐ 15 ☐ 16 ☐ 17

Any information copied from such Reports and Statements may not be sold or used by any person for the purpose of soliciting contributions or for commercial purposes, other than using the name and address of any political committee to solicit contributions from such committee.

NAME OF COMMITTEE (In Full)

Securities Industry and Financial Markets Association Political Action Committee

A.

Full Name (Last, First, Middle Initial)

Mr. John Hallmark

Mailing Address 1101 New York Ave, NW  
8th FloorCity State Zip Code  
Washington DC 20005-4269FEC ID number of contributing  
federal political committee.

C

Name of Employer  
Securities Industry and  
Financial MarkOccupation  
Managing Director

Receipt For:

☐ Primary ☐ General  
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

847.00

Date of Receipt

M M / D D / Y Y Y Y Y  
 1 1 / 1 9 / 2 0 1 0

Transaction ID: 18760102

Amount of Each Receipt this Period

38.50

Contribution

B.

Full Name (Last, First, Middle Initial)

Ms. N. Ellen McCarthy

Mailing Address 1101 New York Ave, NW  
8th FloorCity State Zip Code  
Washington DC 20005-4269FEC ID number of contributing  
federal political committee.

C

Name of Employer  
Securities Industry and  
Financial MarkOccupation  
Managing Director

Receipt For:

☐ Primary ☐ General  
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

847.00

Date of Receipt

M M / D D / Y Y Y Y Y  
 1 1 / 1 9 / 2 0 1 0

Transaction ID: 18760260

Amount of Each Receipt this Period

38.50

Contribution

C.

Full Name (Last, First, Middle Initial)

Mr. Kenneth E. Bentsen, Jr.

Mailing Address 1101 New York Ave, NW  
8th FloorCity State Zip Code  
Washington DC 20005-4269FEC ID number of contributing  
federal political committee.

C

Name of Employer  
Securities Industry and  
Financial MarkOccupation  
EVP, Public Policy and Advocacy

Receipt For:

☐ Primary ☐ General  
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

4424.05

Date of Receipt

M M / D D / Y Y Y Y Y  
 1 1 / 1 9 / 2 0 1 0

Transaction ID: 18760569

Amount of Each Receipt this Period

192.35

Contribution

SUBTOTAL of Receipts This Page (optional) .....

269.35

TOTAL This Period (last page this line number only) .....

# **SCHEDULE A (FEC Form 3X)** **ITEMIZED RECEIPTS**

Use separate schedule(s)  
for each category of the  
Detailed Summary Page

FOR LINE NUMBER: PAGE 27 / 36

(check only one)

☒ 11a ☐ 11b ☐ 11c ☐ 12  
☐ 13 ☐ 14 ☐ 15 ☐ 16 ☐ 17

Any information copied from such Reports and Statements may not be sold or used by any person for the purpose of soliciting contributions or for commercial purposes, other than using the name and address of any political committee to solicit contributions from such committee.

NAME OF COMMITTEE (In Full)

Securities Industry and Financial Markets Association Political Action Committee

**A.**

Full Name (Last, First, Middle Initial)

Marin E. Gibson

Mailing Address 796 Port Monmouth Rd.

City

Port Monmouth

State

NJ

Zip Code

07758-1676

FEC ID number of contributing  
federal political committee.

C

Name of Employer  
Securities Industry and  
Financial Mark

Receipt For:

☐ Primary ☐ General  
☐ Other (specify) ▼

Occupation

Managing Director & Counsel

Aggregate Year-to-Date ▼

1327.10

Date of Receipt

M M / D D / Y Y Y Y  
1 1 / 1 9 / 2 0 1 0

Transaction ID: 18760787

Amount of Each Receipt this Period

57.70

Contribution

**B.**

Full Name (Last, First, Middle Initial)

Mr. Carter McDowell

Mailing Address 1101 New York Ave, NW  
8th Floor

City

Washington

State

DC

Zip Code

20005-4269

FEC ID number of contributing  
federal political committee.

C

Name of Employer  
Securities Industry and  
Financial Mark

Receipt For:

☐ Primary ☐ General  
☐ Other (specify) ▼

Occupation

Senior Managing Director

Aggregate Year-to-Date ▼

2300.00

Date of Receipt

M M / D D / Y Y Y Y  
1 1 / 1 9 / 2 0 1 0

Transaction ID: 18760789

Amount of Each Receipt this Period

100.00

Contribution

**C.**

Full Name (Last, First, Middle Initial)

Rob Gannon

Mailing Address 3 Higgins Road

City

Old Bridge

State

NJ

Zip Code

08857-2749

FEC ID number of contributing  
federal political committee.

C

Name of Employer  
Securities Industry and  
Financial Mark

Receipt For:

☐ Primary ☐ General  
☐ Other (specify) ▼

Occupation

Managing Director

Aggregate Year-to-Date ▼

221.95

Date of Receipt

M M / D D / Y Y Y Y  
1 1 / 1 9 / 2 0 1 0

Transaction ID: 18760792

Amount of Each Receipt this Period

9.65

Contribution

**SUBTOTAL** of Receipts This Page (optional) .....

167.35

**TOTAL** This Period (last page this line number only) .....

**SCHEDULE A (FEC Form 3X)  
ITEMIZED RECEIPTS**Use separate schedule(s)  
for each category of the  
Detailed Summary Page

FOR LINE NUMBER: PAGE 28 / 36

(check only one)

<input checked="" type="checkbox"/> 11a	<input type="checkbox"/> 11b	<input type="checkbox"/> 11c	<input type="checkbox"/> 12	<input type="checkbox"/> 13	<input type="checkbox"/> 14	<input type="checkbox"/> 15	<input type="checkbox"/> 16	<input type="checkbox"/> 17
---	------------------------------	------------------------------	-----------------------------	-----------------------------	-----------------------------	-----------------------------	-----------------------------	-----------------------------

Any information copied from such Reports and Statements may not be sold or used by any person for the purpose of soliciting contributions or for commercial purposes, other than using the name and address of any political committee to solicit contributions from such committee.

NAME OF COMMITTEE (In Full)

Securities Industry and Financial Markets Association Political Action Committee

**A.**

Full Name (Last, First, Middle Initial)

Ms. Cheryl Crispen

Mailing Address 1101 New York Ave, NW

City

Washington

State

DC

Zip Code

20005-4213

FEC ID number of contributing  
federal political committee.

C

Name of Employer  
Securities Industry and  
Financial Mark

Occupation

Executive Vice President, Communicatio

Receipt For:

☐
☐
☐

Primary

☐

General

Other (specify) ▼

Aggregate Year-to-Date ▼

576.90

Date of Receipt

M	M	/	D	D	/	Y	Y	Y	Y
1	1	/	1	9	/	2	0	1	0

Transaction ID: 18760793

Amount of Each Receipt this Period

96.15

Contribution

SUBTOTAL of Receipts This Page (optional) .....

96.15

TOTAL This Period (last page this line number only) .....

24464.14

# **SCHEDULE A (FEC Form 3X)** **ITEMIZED RECEIPTS**

Use separate schedule(s)  
for each category of the  
Detailed Summary Page

FOR LINE NUMBER: PAGE 29 / 36

(check only one)

☐ 11a ☐ 11b ☒ 11c ☐ 12  
☐ 13 ☐ 14 ☐ 15 ☐ 16 ☐ 17

Any information copied from such Reports and Statements may not be sold or used by any person for the purpose of soliciting contributions or for commercial purposes, other than using the name and address of any political committee to solicit contributions from such committee.

NAME OF COMMITTEE (In Full)

Securities Industry and Financial Markets Association Political Action Committee

**A.**

Full Name (Last, First, Middle Initial)

Edward Jones PAC

Mailing Address 12555 Manchester Road

City

St. Louis

State

MO

Zip Code

63131

FEC ID number of contributing  
federal political committee.

**C**

C00410407

Name of Employer

Occupation

Receipt For:

☐ Primary ☐ General  
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

5000.00

Date of Receipt

M M / D D / Y Y Y Y  
1 0 / 2 0 / 2 0 1 0

Transaction ID: 18686191

Amount of Each Receipt this Period

5000.00

Contribution

**B.**

Full Name (Last, First, Middle Initial)

The Bank of New York Mellon Political Action Committee

Mailing Address One Mellon Bank Center

City

Pittsburgh

State

PA

Zip Code

15258

FEC ID number of contributing  
federal political committee.

**C**

C00017558

Name of Employer

Occupation

Receipt For:

☐ Primary ☐ General  
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

5000.00

Date of Receipt

M M / D D / Y Y Y Y  
1 0 / 2 0 / 2 0 1 0

Transaction ID: 18686192

Amount of Each Receipt this Period

5000.00

Contribution

**SUBTOTAL** of Receipts This Page (optional) .....

10000.00

**TOTAL** This Period (last page this line number only) .....

10000.00

# **SCHEDULE A (FEC Form 3X)** **ITEMIZED RECEIPTS**

Use separate schedule(s)  
for each category of the  
Detailed Summary Page

FOR LINE NUMBER: PAGE 30 / 36

(check only one)

☐ 11a ☐ 11b ☐ 11c ☐ 12  
☐ 13 ☐ 14 ☒ 15 ☐ 16 ☐ 17

Any information copied from such Reports and Statements may not be sold or used by any person for the purpose of soliciting contributions or for commercial purposes, other than using the name and address of any political committee to solicit contributions from such committee.

NAME OF COMMITTEE (In Full)

Securities Industry and Financial Markets Association Political Action Committee

**A.**

Full Name (Last, First, Middle Initial)

Securities Industry and Financial Markets Association

Mailing Address 120 Broadway  
Floor 35

City State Zip Code  
New York NY 10271

FEC ID number of contributing  
federal political committee.

**C**

Name of Employer

Occupation

Receipt For:

☐ Primary ☐ General  
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

5922.48

Date of Receipt

M M / D D / Y Y Y Y  
1 0 / 2 9 / 2 0 1 0

Transaction ID: 18701090

Amount of Each Receipt this Period

229.73

Bank Fee Reimbursement

**B.**

Full Name (Last, First, Middle Initial)

Securities Industry and Financial Markets Association

Mailing Address 120 Broadway  
Floor 35

City State Zip Code  
New York NY 10271

FEC ID number of contributing  
federal political committee.

**C**

Name of Employer

Occupation

Receipt For:

☐ Primary ☐ General  
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

6501.83

Date of Receipt

M M / D D / Y Y Y Y  
1 1 / 1 8 / 2 0 1 0

Transaction ID: 18759890

Amount of Each Receipt this Period

579.35

Bank Fee Reimbursement

**SUBTOTAL** of Receipts This Page (optional) .....

809.08

**TOTAL** This Period (last page this line number only) .....

809.08

# **SCHEDULE B (FEC Form 3X)** **ITEMIZED DISBURSEMENTS**

Use separate schedule(s)  
for each category of the  
Detailed Summary Page

FOR LINE NUMBER:  
(check only one)

PAGE 31 / 36

<input type="checkbox"/> 21b	<input type="checkbox"/> 22	<input checked="" type="checkbox"/> 23	<input type="checkbox"/> 24	<input type="checkbox"/> 25	<input type="checkbox"/> 26
<input type="checkbox"/> 27	<input type="checkbox"/> 28a	<input type="checkbox"/> 28b	<input type="checkbox"/> 28c	<input type="checkbox"/> 29	<input type="checkbox"/> 30b

Any Information copied from such Reports and Statements may not be sold or used by any person for the purpose of soliciting contributions or for commercial purposes, other than using the name and address of any political committee to solicit contributions from such committee

NAME OF COMMITTEE (In Full)

Securities Industry and Financial Markets Association Political Action Committee

<b>A.</b> Full Name (Last, First, Middle Initial) Vicky Hartzler For Congress	<b>Transaction ID:</b> 18668738 <b>Date of Disbursement</b>																				
Mailing Address PO Box 531	<table border="1"> <tr> <td>M</td><td>M</td><td>/</td><td>D</td><td>D</td><td>/</td><td>Y</td><td>Y</td><td>Y</td><td>Y</td> </tr> <tr> <td>1</td><td>0</td><td></td><td>1</td><td>4</td><td></td><td>2</td><td>0</td><td>1</td><td>0</td> </tr> </table>	M	M	/	D	D	/	Y	Y	Y	Y	1	0		1	4		2	0	1	0
M	M	/	D	D	/	Y	Y	Y	Y												
1	0		1	4		2	0	1	0												
City Harrisonville State MO Zip Code 64701	Amount of Each Disbursement this Period																				
Purpose of Disbursement Contribution Candidate Name Ms. Vicky Hartzler	<table border="1"> <tr> <td colspan="10">1000.00</td> </tr> </table>	1000.00																			
1000.00																					
Office Sought: <input checked="" type="checkbox"/> House <input type="checkbox"/> Senate <input type="checkbox"/> President State: MO District: 04	Disbursement For: 2010 <input type="checkbox"/> Primary <input checked="" type="checkbox"/> General <input type="checkbox"/> Other (specify) ▼																				
Contribution																					
<b>B.</b> Full Name (Last, First, Middle Initial) Bachus For Congress Committee	<b>Transaction ID:</b> 18690813 <b>Date of Disbursement</b>																				
Mailing Address P.O. Box 131134	<table border="1"> <tr> <td>M</td><td>M</td><td>/</td><td>D</td><td>D</td><td>/</td><td>Y</td><td>Y</td><td>Y</td><td>Y</td> </tr> <tr> <td>1</td><td>0</td><td></td><td>2</td><td>6</td><td></td><td>2</td><td>0</td><td>1</td><td>0</td> </tr> </table>	M	M	/	D	D	/	Y	Y	Y	Y	1	0		2	6		2	0	1	0
M	M	/	D	D	/	Y	Y	Y	Y												
1	0		2	6		2	0	1	0												
City Birmingham State AL Zip Code 35213	Amount of Each Disbursement this Period																				
Purpose of Disbursement Contribution Candidate Name Rep. Spencer Thomas Bachus, III	<table border="1"> <tr> <td colspan="10">2500.00</td> </tr> </table>	2500.00																			
2500.00																					
Office Sought: <input checked="" type="checkbox"/> House <input type="checkbox"/> Senate <input type="checkbox"/> President State: AL District: 06	Disbursement For: 2010 <input type="checkbox"/> Primary <input checked="" type="checkbox"/> General <input type="checkbox"/> Other (specify) ▼																				
Contribution																					
<b>C.</b> Full Name (Last, First, Middle Initial) Judy Biggert For Congress	<b>Transaction ID:</b> 18690931 <b>Date of Disbursement</b>																				
Mailing Address P.O. Box 637	<table border="1"> <tr> <td>M</td><td>M</td><td>/</td><td>D</td><td>D</td><td>/</td><td>Y</td><td>Y</td><td>Y</td><td>Y</td> </tr> <tr> <td>1</td><td>0</td><td></td><td>2</td><td>6</td><td></td><td>2</td><td>0</td><td>1</td><td>0</td> </tr> </table>	M	M	/	D	D	/	Y	Y	Y	Y	1	0		2	6		2	0	1	0
M	M	/	D	D	/	Y	Y	Y	Y												
1	0		2	6		2	0	1	0												
City Hinsdale State IL Zip Code 60522	Amount of Each Disbursement this Period																				
Purpose of Disbursement Contribution Candidate Name Rep. Judy Biggert	<table border="1"> <tr> <td colspan="10">1000.00</td> </tr> </table>	1000.00																			
1000.00																					
Office Sought: <input checked="" type="checkbox"/> House <input type="checkbox"/> Senate <input type="checkbox"/> President State: IL District: 13	Disbursement For: 2010 <input type="checkbox"/> Primary <input checked="" type="checkbox"/> General <input type="checkbox"/> Other (specify) ▼																				
Contribution																					

**SUBTOTAL** of Disbursements This Page (optional) .....

4500.00

**TOTAL** This Period (last page this line number only) .....

# **SCHEDULE B (FEC Form 3X)** **ITEMIZED DISBURSEMENTS**

Use separate schedule(s)  
for each category of the  
Detailed Summary Page

FOR LINE NUMBER:  
(check only one)

PAGE 32 / 36

☐ 21b ☐ 22 ☒ 23 ☐ 24 ☐ 25 ☐ 26  
☐ 27 ☐ 28a ☐ 28b ☐ 28c ☐ 29 ☐ 30b

Any Information copied from such Reports and Statements may not be sold or used by any person for the purpose of soliciting contributions or for commercial purposes, other than using the name and address of any political committee to solicit contributions from such committee

NAME OF COMMITTEE (In Full)

Securities Industry and Financial Markets Association Political Action Committee

**A.** Full Name (Last, First, Middle Initial)  
Shelley Moore Capito For Congress

Mailing Address P.O. Box 11519

City Charleston State WV Zip Code 25339

Purpose of Disbursement  
Contribution

Candidate Name  
Rep. Shelley Moore Capito

Office Sought: ☒ House  
☐ Senate  
☐ President

State: WV District: 02

Disbursement For: 2010  
☐ Primary ☒ General  
☐ Other (specify) ▼

011  
Category/  
Type

Transaction ID: 18690934

Date of Disbursement

10 / 26 / 2010

Amount of Each Disbursement this Period

1000.00

Contribution

**B.** Full Name (Last, First, Middle Initial)  
Team Emerson For Jo Ann Emerson

Mailing Address P.O. Box 822  
400 Broadway, Suite 501

City Cape Girardeau State MO Zip Code 63702

Purpose of Disbursement  
Contribution

Candidate Name  
Rep. Jo Ann Emerson

Office Sought: ☒ House  
☐ Senate  
☐ President

State: MO District: 08

Disbursement For: 2010  
☐ Primary ☒ General  
☐ Other (specify) ▼

011  
Category/  
Type

Transaction ID: 18690946

Date of Disbursement

10 / 26 / 2010

Amount of Each Disbursement this Period

1000.00

Contribution

**C.** Full Name (Last, First, Middle Initial)  
Pete King for Congress Committee

Mailing Address P.O. Box 1428

City Seaford State NY Zip Code 11783

Purpose of Disbursement  
Contribution

Candidate Name  
Rep. Peter T. King

Office Sought: ☒ House  
☐ Senate  
☐ President

State: NY District: 03

Disbursement For: 2010  
☐ Primary ☒ General  
☐ Other (specify) ▼

011  
Category/  
Type

Transaction ID: 18692812

Date of Disbursement

10 / 26 / 2010

Amount of Each Disbursement this Period

1000.00

Contribution

**SUBTOTAL** of Disbursements This Page (optional) .....

3000.00

**TOTAL** This Period (last page this line number only) .....



**SCHEDULE B (FEC Form 3X)  
ITEMIZED DISBURSEMENTS**Use separate schedule(s)  
for each category of the  
Detailed Summary PageFOR LINE NUMBER:  
(check only one)

PAGE 33 / 36

<input type="checkbox"/> 21b	<input type="checkbox"/> 22	<input checked="" type="checkbox"/> 23	<input type="checkbox"/> 24	<input type="checkbox"/> 25	<input type="checkbox"/> 26
<input type="checkbox"/> 27	<input type="checkbox"/> 28a	<input type="checkbox"/> 28b	<input type="checkbox"/> 28c	<input type="checkbox"/> 29	<input type="checkbox"/> 30b

Any Information copied from such Reports and Statements may not be sold or used by any person for the purpose of soliciting contributions or for commercial purposes, other than using the name and address of any political committee to solicit contributions from such committee

NAME OF COMMITTEE (In Full)

Securities Industry and Financial Markets Association Political Action Committee

<b>A.</b>	Full Name (Last, First, Middle Initial) Kind For Congress Committee	<b>Transaction ID:</b> 18697099 <b>Date of Disbursement</b> M M / D D / Y Y Y Y 1 0 / 2 9 / 2 0 1 0
	Mailing Address 205 5th Avenue South Suite 428	
	City La Crosse State WI Zip Code 54601	Amount of Each Disbursement this Period 1000.00
	Purpose of Disbursement Contribution Candidate Name Rep. Ron Kind	011 Category/ Type
	Office Sought: <input checked="" type="checkbox"/> House <input type="checkbox"/> Senate <input type="checkbox"/> President State: WI District: 03 Disbursement For: 2010 <input type="checkbox"/> Primary <input checked="" type="checkbox"/> General <input type="checkbox"/> Other (specify) ▼	Contribution
<b>B.</b>	Full Name (Last, First, Middle Initial) Ed Martin For Congress	<b>Transaction ID:</b> 18697100 <b>Date of Disbursement</b> M M / D D / Y Y Y Y 1 0 / 2 9 / 2 0 1 0
	Mailing Address 6037 Hampton Avenue	
	City St Louis State MO Zip Code 63109	Amount of Each Disbursement this Period 1000.00
	Purpose of Disbursement Contribution Candidate Name Mr. Edward Martin	011 Category/ Type
	Office Sought: <input checked="" type="checkbox"/> House <input type="checkbox"/> Senate <input type="checkbox"/> President State: MO District: 03 Disbursement For: 2010 <input type="checkbox"/> Primary <input checked="" type="checkbox"/> General <input type="checkbox"/> Other (specify) ▼	Contribution
<b>C.</b>	Full Name (Last, First, Middle Initial) Friends Of Weiner	<b>Transaction ID:</b> 18700614 <b>Date of Disbursement</b> M M / D D / Y Y Y Y 1 1 / 0 1 / 2 0 1 0
	Mailing Address 1 Ascan Avenue #31 Suite 31	
	City Forest Hills State NY Zip Code 11375	Amount of Each Disbursement this Period 1000.00
	Purpose of Disbursement Contribution Candidate Name Rep. Anthony D. Weiner	011 Category/ Type
	Office Sought: <input checked="" type="checkbox"/> House <input type="checkbox"/> Senate <input type="checkbox"/> President State: NY District: 09 Disbursement For: 2010 <input type="checkbox"/> Primary <input checked="" type="checkbox"/> General <input type="checkbox"/> Other (specify) ▼	Contribution

**SUBTOTAL** of Disbursements This Page (optional) .....

3000.00

**TOTAL** This Period (last page this line number only) .....

# **SCHEDULE B (FEC Form 3X)** **ITEMIZED DISBURSEMENTS**

Use separate schedule(s)  
for each category of the  
Detailed Summary Page

FOR LINE NUMBER:  
(check only one)

PAGE 34 / 36

☐ 21b ☐ 22 ☒ 23 ☐ 24 ☐ 25 ☐ 26  
☐ 27 ☐ 28a ☐ 28b ☐ 28c ☐ 29 ☐ 30b

Any Information copied from such Reports and Statements may not be sold or used by any person for the purpose of soliciting contributions or for commercial purposes, other than using the name and address of any political committee to solicit contributions from such committee

NAME OF COMMITTEE (In Full)

Securities Industry and Financial Markets Association Political Action Committee

**A.**

Full Name (Last, First, Middle Initial)

Bob Corker For Senate 2012

Mailing Address PO Box 848

City  
Chattanooga

State  
TN

Zip Code  
37401

Purpose of Disbursement  
Contribution

Candidate Name  
Sen. Robert Corker

011  
Category/  
Type

Office Sought: ☐ House  
☒ Senate  
☐ President

Disbursement For: 2012  
☒ Primary ☐ General  
☐ Other (specify) ▼

State: TN District:

**Transaction ID:** 18726928

Date of Disbursement

11 / 15 / 2010

Amount of Each Disbursement this Period

2500.00

Contribution

**B.**

Full Name (Last, First, Middle Initial)

Stivers For Congress

Mailing Address 4679 Winterset Drive

City  
Columbus

State  
OH

Zip Code  
43220

Purpose of Disbursement  
2010 General Debt Retirement

Candidate Name  
Mr. Steve Stivers

011  
Category/  
Type

Office Sought: ☒ House  
☐ Senate  
☐ President

Disbursement For: 2010  
☐ Primary ☐ General  
☒ Other (specify) ▼

State: OH District: 15

2010 General Debt Re

**Transaction ID:** 18726929

Date of Disbursement

11 / 15 / 2010

Amount of Each Disbursement this Period

1000.00

2010 General Debt Retirement

**SUBTOTAL** of Disbursements This Page (optional) .....

3500.00

**TOTAL** This Period (last page this line number only) .....

14000.00

# **SCHEDULE B (FEC Form 3X)** **ITEMIZED DISBURSEMENTS**

Use separate schedule(s)  
for each category of the  
Detailed Summary Page

FOR LINE NUMBER:  
(check only one)

PAGE 35 / 36

<input checked="" type="checkbox"/> 21b	<input type="checkbox"/> 22	<input type="checkbox"/> 23	<input type="checkbox"/> 24	<input type="checkbox"/> 25	<input type="checkbox"/> 26
<input type="checkbox"/> 27	<input type="checkbox"/> 28a	<input type="checkbox"/> 28b	<input type="checkbox"/> 28c	<input type="checkbox"/> 29	<input type="checkbox"/> 30b

Any Information copied from such Reports and Statements may not be sold or used by any person for the purpose of soliciting contributions or for commercial purposes, other than using the name and address of any political committee to solicit contributions from such committee

NAME OF COMMITTEE (In Full)

Securities Industry and Financial Markets Association Political Action Committee

<b>A.</b> Full Name (Last, First, Middle Initial) PNC Bank	<b>Transaction ID:</b> 18756482 <b>Date of Disbursement</b>																				
Mailing Address 1400 K Street, NW	<table border="1"> <tr> <td>M</td><td>M</td><td>/</td><td>D</td><td>D</td><td>/</td><td>Y</td><td>Y</td><td>Y</td><td>Y</td> </tr> <tr> <td>1</td><td>1</td><td></td><td>0</td><td>2</td><td></td><td>2</td><td>0</td><td>1</td><td>0</td> </tr> </table>	M	M	/	D	D	/	Y	Y	Y	Y	1	1		0	2		2	0	1	0
M	M	/	D	D	/	Y	Y	Y	Y												
1	1		0	2		2	0	1	0												
<table border="1"> <tr> <td>City Washington</td> <td>State DC</td> <td>Zip Code 20005</td> </tr> <tr> <td colspan="2">Purpose of Disbursement Bank Fees</td> <td rowspan="2">001 Category/ Type</td> </tr> <tr> <td colspan="2">Candidate Name</td> </tr> </table>	City Washington	State DC	Zip Code 20005	Purpose of Disbursement Bank Fees		001 Category/ Type	Candidate Name		Amount of Each Disbursement this Period <table border="1"> <tr> <td>244.64</td> </tr> </table>	244.64											
City Washington	State DC	Zip Code 20005																			
Purpose of Disbursement Bank Fees		001 Category/ Type																			
Candidate Name																					
244.64																					
Office Sought: <input type="checkbox"/> House <input type="checkbox"/> Senate <input type="checkbox"/> President State: District:	Disbursement For: <input type="checkbox"/> Primary <input type="checkbox"/> General <input type="checkbox"/> Other (specify) ▼ Bank Fees																				
<b>B.</b> Full Name (Last, First, Middle Initial) PNC Bank	<b>Transaction ID:</b> 18756484 <b>Date of Disbursement</b>																				
Mailing Address 1400 K Street, NW	<table border="1"> <tr> <td>M</td><td>M</td><td>/</td><td>D</td><td>D</td><td>/</td><td>Y</td><td>Y</td><td>Y</td><td>Y</td> </tr> <tr> <td>1</td><td>1</td><td></td><td>0</td><td>2</td><td></td><td>2</td><td>0</td><td>1</td><td>0</td> </tr> </table>	M	M	/	D	D	/	Y	Y	Y	Y	1	1		0	2		2	0	1	0
M	M	/	D	D	/	Y	Y	Y	Y												
1	1		0	2		2	0	1	0												
<table border="1"> <tr> <td>City Washington</td> <td>State DC</td> <td>Zip Code 20005</td> </tr> <tr> <td colspan="2">Purpose of Disbursement Bank Fees</td> <td rowspan="2">001 Category/ Type</td> </tr> <tr> <td colspan="2">Candidate Name</td> </tr> </table>	City Washington	State DC	Zip Code 20005	Purpose of Disbursement Bank Fees		001 Category/ Type	Candidate Name		Amount of Each Disbursement this Period <table border="1"> <tr> <td>99.95</td> </tr> </table>	99.95											
City Washington	State DC	Zip Code 20005																			
Purpose of Disbursement Bank Fees		001 Category/ Type																			
Candidate Name																					
99.95																					
Office Sought: <input type="checkbox"/> House <input type="checkbox"/> Senate <input type="checkbox"/> President State: District:	Disbursement For: <input type="checkbox"/> Primary <input type="checkbox"/> General <input type="checkbox"/> Other (specify) ▼ Bank Fees																				
<b>C.</b> Full Name (Last, First, Middle Initial) PNC Bank	<b>Transaction ID:</b> 18756485 <b>Date of Disbursement</b>																				
Mailing Address 1400 K Street, NW	<table border="1"> <tr> <td>M</td><td>M</td><td>/</td><td>D</td><td>D</td><td>/</td><td>Y</td><td>Y</td><td>Y</td><td>Y</td> </tr> <tr> <td>1</td><td>1</td><td></td><td>0</td><td>2</td><td></td><td>2</td><td>0</td><td>1</td><td>0</td> </tr> </table>	M	M	/	D	D	/	Y	Y	Y	Y	1	1		0	2		2	0	1	0
M	M	/	D	D	/	Y	Y	Y	Y												
1	1		0	2		2	0	1	0												
<table border="1"> <tr> <td>City Washington</td> <td>State DC</td> <td>Zip Code 20005</td> </tr> <tr> <td colspan="2">Purpose of Disbursement Bank Fees</td> <td rowspan="2">001 Category/ Type</td> </tr> <tr> <td colspan="2">Candidate Name</td> </tr> </table>	City Washington	State DC	Zip Code 20005	Purpose of Disbursement Bank Fees		001 Category/ Type	Candidate Name		Amount of Each Disbursement this Period <table border="1"> <tr> <td>35.07</td> </tr> </table>	35.07											
City Washington	State DC	Zip Code 20005																			
Purpose of Disbursement Bank Fees		001 Category/ Type																			
Candidate Name																					
35.07																					
Office Sought: <input type="checkbox"/> House <input type="checkbox"/> Senate <input type="checkbox"/> President State: District:	Disbursement For: <input type="checkbox"/> Primary <input type="checkbox"/> General <input type="checkbox"/> Other (specify) ▼ Bank Fees																				

**SUBTOTAL** of Disbursements This Page (optional) .....

**379.66**

**TOTAL** This Period (last page this line number only) .....

# **SCHEDULE B (FEC Form 3X)** **ITEMIZED DISBURSEMENTS**

Use separate schedule(s)  
for each category of the  
Detailed Summary Page

FOR LINE NUMBER:  
(check only one)

PAGE 36 / 36

<input checked="" type="checkbox"/> 21b	<input type="checkbox"/> 22	<input type="checkbox"/> 23	<input type="checkbox"/> 24	<input type="checkbox"/> 25	<input type="checkbox"/> 26
<input type="checkbox"/> 27	<input type="checkbox"/> 28a	<input type="checkbox"/> 28b	<input type="checkbox"/> 28c	<input type="checkbox"/> 29	<input type="checkbox"/> 30b

Any Information copied from such Reports and Statements may not be sold or used by any person for the purpose of soliciting contributions or for commercial purposes, other than using the name and address of any political committee to solicit contributions from such committee

NAME OF COMMITTEE (In Full)

Securities Industry and Financial Markets Association Political Action Committee

**A.**

Full Name (Last, First, Middle Initial)

PNC Bank

Mailing Address 1400 K Street, NW

City  
Washington

State  
DC

Zip Code  
20005

Purpose of Disbursement  
Bank Fees

Candidate Name

001  
Category/  
Type

Office Sought: ☐ House  
☐ Senate  
☐ President

State: District:

Disbursement For: ☐ Primary ☐ General  
☐ Other (specify) ▼

**Transaction ID:** 18756493

Date of Disbursement

11 / 02 / 2010

Amount of Each Disbursement this Period

16.39

Bank Fees

**B.**

Full Name (Last, First, Middle Initial)

PNC Bank

Mailing Address 1400 K Street, NW

City  
Washington

State  
DC

Zip Code  
20005

Purpose of Disbursement  
Bank Fees

Candidate Name

001  
Category/  
Type

Office Sought: ☐ House  
☐ Senate  
☐ President

State: District:

Disbursement For: ☐ Primary ☐ General  
☐ Other (specify) ▼

**Transaction ID:** 18756495

Date of Disbursement

11 / 05 / 2010

Amount of Each Disbursement this Period

183.30

Bank Fees

**SUBTOTAL** of Disbursements This Page (optional) .....

199.69

**TOTAL** This Period (last page this line number only) .....

579.35